



Secretary of State  
Department of Archives and History  
330 Capitol Avenue, S.E.  
Atlanta, Georgia 30334  
www.sos.state.ga.us/archives

**Cathy Cox**  
SECRETARY OF STATE

**David W. Carmicheal**

DIRECTOR  
(404) 656-2358  
INFORMATION (404) 656-2393  
FAX (404) 657-8427  
dcarmicheal@sos.state.ga.us

**Records Retention Schedule Approval Page**

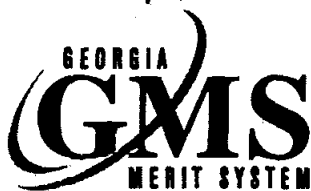
Schedule Number: 0460-001  
Effective Date: March 27, 2002  
Record Series Title: Adverse Action Appeal Files  
Retention Requirement: Temporary Record. Retain 6 years.

The above retention period is consistent with the requirement of the Georgia Records Act (O.C.G.A. §50-18-90 et seq.) and complies with Criteria "B" for Administrative Approval.

Recommended by: Andrew S Taylor 3-29-02  
Andrew S. Taylor, Assistant Director for Records Management Date

The State Records Committee approves this recommended retention period for the named records series.

Signed: David W. Carmicheal 4/2/02  
David W. Carmicheal, Secretary of State Designee Date



Marjorie H. Young  
COMMISSIONER

State Merit System of Personnel Administration | Suite 520 West | 2 Martin Luther King, Jr. Drive, S.E. | Atlanta, Georgia 30334-5100  
(404) 656-2701 | (404) 656-9382 FAX | [www.gms.state.ga.us](http://www.gms.state.ga.us)

**MEMORANDUM**

TO: Andrew S. Taylor, State Records Management Officer  
FROM: Gussie Lofton-Broadway, Administrative & Operation Specialist  
DATE: March 7, 2002  
SUBJECT: Amending of the Retention Schedule

I am requesting that the retention schedule for Adverse Action Appeals Files (73-61A supersede 8/19/80) be amended. Please change from: Cut off inactive file at the end of each calendar year, hold in current files area one year and then retire to the Archives [ for continuing retention.]

To "Cut off inactive file at the end of each fiscal year, hold in current files area for six years and then destroy."

If you need additional information, please contact Gussie Lofton-Broadway at the Georgia Merit System on (404)657-5805.

cc. Deborah O. Belcher  
Steve Mitchell



Secretary of State  
Department of Archives and History  
330 Capitol Avenue, S.E.  
Atlanta, Georgia 30334

Max Cleland  
SECRETARY OF STATE  
(404) 656-2881

Edward Meldon  
DIRECTOR  
(404) 656-2358  
INFORMATION (404) 656-2393  
FAX (404) 651-9270

NOTICE OF ADMINISTRATIVE CHANGE TO RECORDS RETENTION

SCHEDULE NO. 73-61-A  
Effective 8/19/1980

DATE: September 29, 1993

TO: Rosalind Pounds - State Merit System of Personnel Administration

FROM: Peter E. Schinkel - Head, Schedule Section

SUBJECT: Receipt and acceptance of administrative change report submitted September 10, 1993: application file #930910-01

NEW  
SCHEDULE #: 73-0061-M

EFFECTIVE  
DATE: September 10, 1993

SERIES: "Adverse Action Appeal File," 1990 and continuing

CHANGE: Disposition Instructions

FROM: "...cut off inactive file at end of each calendar year, hold in current files area one year and then retire to the Archives [for continuing retention].

TO: "...cut off inactive file at end of fiscal year, Hold in current files area one year, then Transfer to the Archives for continuing retention."

This change has been accepted and filed with the official copy of the approved schedule (copy enclosed)

*Peter E. Schinkel*  
Peter E. Schinkel  
Schedule Section

*9/29/93*  
Date

encl: Photocopy of schedule #73-61-A, effective 8/19/80

cc: RGS Schedule Case File  
State Records Center Schedule File  
Robert E. White, Assistant Director

313-13  
4  
APPLICATION FOR RECORDS RETENTION SCHEDULEOFFICE OF THE SECRETARY OF STATE  
DEPARTMENT OF ARCHIVES AND HISTORY  
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334. Attention: Scheduling Section.

FOR AGENCY USE		1. Agency Address	FOR RECORDS MANAGEMENT USE	
Application Date 7/21/80		State Merit System 244 Washington Street, S.W. Atlanta, Georgia	Application Number 73-61-A	
Application Number			Date Received JUL 31 1980	Date Completed AUG 19 1980
2. Person to Contact Vernie C. Morgan		Working Title Administrative Assistant	Telephone Number 656-2705	
3. Action Requested a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input checked="" type="checkbox"/> Amend Application No. 73-61 Check One: <input checked="" type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void				
4. Dates of Series Earliest Latest 1975 Current		5. Records Series Title (followed by title used in office, if different) Adverse Action appeal files		
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? State Personnel Board Board Executive's Office The Merit System Board Executive's Office is charged with the management of hearings before the State Personnel Board. This function includes: <ol style="list-style-type: none"><li>1. Determining eligibility for hearings</li><li>2. Notifying all parties involved</li><li>3. Answering questions about the hearing process and the procedures to be followed</li><li>4. Holding pre-hearing conferences</li><li>5. Holding hearings and scheduling continuances</li><li>6. Issuing subpoenas</li><li>7. Developing findings of fact and making initial decisions</li><li>8. Performing all necessary legal research.</li><li>9. Follow the progress of cases in Superior Court</li></ol>				
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: Documents relating to appeals of adverse action for employees covered under the State Merit System of Personnel Administration Included are: Correspondence with appellant, attorney, agency personnel officer, exhibits, findings of fact, conclusions of law, and initial decision, application for review from appellant or state agency and State Personnel Board's final decision. A typewritten transcript of testimony presented to the Hearing Officer will also be included.  File is arranged: alphabetically by appellant's name				
8. Monthly Reference Rate How often are records referred to which are: One to six months old * ; Seven to twelve months old * ; Thirteen to twenty-four months old * ; twenty-five months and older * ? Seldom, usually only when suits are brought.				
9. Annual Rate of Accumulation of Records Letter-size drawers ; Legal-size drawers ; Shelves ; Other (specify) 3 cu. feet				

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it?
	X	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
X		c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

#### 11. Retention Requirements

The following requires the series to be kept:

- |                          |              |                                   |                |
|--------------------------|--------------|-----------------------------------|----------------|
| a. State Law             | _____ years. | d. Audit period                   | _____ years.   |
| b. Statute of limitation | _____ years. | e. Administrative need            | 7 _____ years. |
| c. Federal law           | _____ years. | f. Federal retention instructions | _____ years.   |

Attach copy or excerpt of laws or regulations. Explain administrative need.

Based on past needs experience

#### 12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☒ Fiscal Year; ☐ Other \_\_\_\_\_ then,

- ☐ Hold in the current files area \_\_\_\_\_ month(s) \_\_\_\_\_ year(s); then
- ☐ Transfer to local holding area; hold \_\_\_\_\_ year(s); then
- ☐ Transfer to State Records Center; hold \_\_\_\_\_ year(s); then
- ☐ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

Upon termination of appeal, transfer to inactive file, cut off inactive file at end of each calendar year, hold in current files area one year and then retire to State Archives.

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>Charles E. Ham</i>	7/29/80		
73-61A		State Records Committee (Signature)	
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Auditor/Designee	8-15-80
		Secretary of State/Designee	8-11-80
		Attorney General/Designee	8-13-80



STATE  
OF  
GEORGIA

313-15  
4

Application for  
RECORDS DISPOSITION STANDARD

32-2-4 #5

OFFICE OF SECRETARY OF STATE  
DEPARTMENT OF ARCHIVES & HISTORY  
RECORDS MANAGEMENT DIVISION

1. Application Date 7/14/72	INSTRUCTIONS: See separate instructions for completion of front and reverse of this form. Sign original and two copies and forward to Department of Archives and History, Attention: Records Management Officer.		FOR RECORDS MANAGEMENT DIVISION USE	
2. Agency Application No. <b>MS 202</b>			Date Received <b>1-17-73</b>	Application No. <b>73-61</b>
3. AGENCY, Division, Subdivision & Administering Office Address  State Merit System Administrative Division 244 Washington Street SW Atlanta, Georgia 30334			4. Person to Contact  Vernnie Morgan	
			5. Working Title Admin. Aide	6. Tel. No. 656-2705
7. ACTION REQUESTED  <input checked="" type="checkbox"/> ESTABLISH DISPOSITION STANDARD; RECORD WILL CONTINUE TO ACCUMULATE. <input type="checkbox"/> DISPOSE OF PRESENT ACCUMULATIONS; NO FURTHER ACCUMULATION ANTICIPATED.				
8. Earliest & Latest Dates of Series  1943 to current		9. Exact Series Title Official Transcript of Hearings of Appeal to the State Personnel Board		
10. What is the function of the office in which this record series is created  These records accumulate as a result of administering a state-wide program of personnel administration and are created as a result of (but not limited to), (1) recruiting, (2) conducting examinations, (3) certification of eligibility, (4) appointment, (5) audit personnel transactions, (6) providing training, (7) providing Health Insurance and other fringe benefits program, (8) <u>administer Hearings and Appeals</u> , (9) manpower and personnel planning.				
11. This file contains the following documents (include form numbers and titles, if any, and file arrangement):  (1) These files relate to hearing of appeals before the hearing officer or the State Personnel Board.  (2) Each file may contain, but is not limited to, a typewritten transcript of testimony presented to the Hearing Officer or the State Personnel Board, and may include copies of exhibits, personnel actions, service ratings, time reports, letters of recommendation, letters of warning or caution, signed decision of the board, and all correspondence concerning the appeal.  (3) Filed in alphabetical order by calendar year.  ATTACH SAMPLES OF THE FILE				
12. EQUIPMENT OCCUPIED	No. of Drawers	Cu. Ft. of Records	ANNUAL RATE OF ACCUMULATION	
Letter-size File Drawers	4	6	1 1.5	
Legal-size File Drawers			In Office(s) In Storage Area(s)	
			6 cu. ft.	
			This Year's	Last Year's
			1	.1
			Preceding Year's	All Prior Year's
			0	0
			AVERAGE DAILY REFERENCES	

QUESTIONNAIRE Place an "x" in the proper column. If answer is "YES," please explain

YES NO

13. Is this the Record Copy of the series? [x] [ ]
14. Is there a duplication of this series in another office or agency? [ ] [x]
15. Is the information contained in this series ever summarized or published? Attach copy of summary or publication. [ ] [x]
16. Does the series contain classified information requiring security handling? [ ] [x]
17. Does the series initiate, amend or terminate agency policies and procedures? [ ] [x]
18. Could the function be performed if the files were lost or destroyed? [x] [ ]
- Rehear appeals
19. Is the series (or major portion of it) regularly microfilmed? If yes, why? [ ] [x]
20. Does the record series provide data as input to an EDP file? [ ] [x]
21. Does the record series contain documentation produced as EDP printout? [ ] [x]
22. Has the Federal Government issued instructions governing retention/disposition of these files? [ ] [x]
23. Will there be a need for these records 10, 15 years from now? If yes, what? [x] [ ]  
Appeals may be carried to Civil Courts.

24. REQUIREMENTS. The following requires the files to be kept 70 years: possibly permanently because of historical value.

a. [ ] STATE LAW b. [ ] STATUTE OF LIMITATION c. [ ] AUDIT PERIOD d. [ ] FEDERAL LAW e. [x] ADMINISTRATIVE DECISION f. [ ] HISTORICAL VALUE  
(Cite Law, Statute, or other reason for the retention requirement)

Findings may be appealed to Civil Courts by the appellant, his heirs, or estate. These files provide the information to answer questions of the Civil Courts.

25. AGENCY RECOMMENDATIONS: This agency recommends that the file series be cut off at the end of each  
-[x] CALENDAR YEAR -[ ] FISCAL YEAR -[ ] Other then:

Upon termination of appeal, transfer to inactive file, hold in current files area 1 year; transfer to Archives for permanent retention. Records involved in any court action will be further retained in the current files area until settled.

Attach Samples of the Series

*Marvin C. Albitz*

Records Management Officer

*1/15/73*

Date

26. Recommendations		[x] Approved [ ] Disapproved	Head of Agency/Designee <i>Marvin C. Albitz</i>	Date <i>1/15/73</i>
in Paragraph 25 are:	State	[x] Approved [ ] Disapproved	Department of Audits/Designee <i>William M. Dixon</i>	Date <i>2-2-73</i>
	Records	[x] Approved [ ] Disapproved	Secretary of State/Designee <i>Carroll Hart</i>	Date <i>1-31-73</i>
	Committee	[x] Approved [ ] Disapproved	Department of Law/Designee <i>Edith A. Shell</i>	Date <i>2-8-73</i>